

## PATENT COOPERATION TREATY

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## INTERNATIONAL PRELIMINARY EXAMINATION REPORT

(PCT Article 36 and Rule 70)

Applicant's or agent's file reference <b>14154WO01</b>	<b>FOR FURTHER ACTION</b> See Notification of Transmittal of International Preliminary Examination Report (Form PCT/IPEA/416)	
International application No. <b>PCT/US03/38735</b>	International filing date ( <i>day/month/year</i> ) <b>05 December 2003 (05.12.2003)</b>	Priority date ( <i>day/month/year</i> ) <b>20 December 2002 (20.12.2002)</b>
International Patent Classification (IPC) or national classification and IPC <b>IPC(7): C10M 173/02 and US Cl.: 508/480, 482; 72/42</b>		
Applicant <b>STEPHAN COMPANY</b>		

1. This international preliminary examination report has been prepared by this International Preliminary Examining Authority and is transmitted to the applicant according to Article 36.

2. This REPORT consists of a total of 3 sheets, including this cover sheet.

This report is also accompanied by ANNEXES, i.e., sheets of the description, claims and/or drawings which have been amended and are the basis for this report and/or sheets containing rectifications made before this Authority (see Rule 70.16 and Section 607 of the Administrative Instructions under the PCT).

These annexes consist of a total of 3 sheets.

3. This report contains indications relating to the following items:

- I  Basis of the report
- II  Priority
- III  Non-establishment of report with regard to novelty, inventive step and industrial applicability
- IV  Lack of unity of invention
- V  Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement
- VI  Certain documents cited
- VII  Certain defects in the international application
- VIII  Certain observations on the international application

Date of submission of the demand <b>18 May 2004 (18.05.2004)</b>	Date of completion of this report <b>07 December 2004 (07.12.2004)</b>
Name and mailing address of the IPEA/US Mail Stop PCT, Attn: IPEA/US Commissioner for Patents P.O. Box 1450 Alexandria, Virginia 22313-1450 Facsimile No. (703) 305-3230	Authorized officer <b>Jerry D. Johnson</b> Telephone No. (571) 272-1448

## INTERNATIONAL PRELIMINARY EXAMINATION REPORT

International application No.  
PCT/US03/38735

**I. Basis of the report****1. With regard to the elements of the international application:\***

the international application as originally filed.

the description:

pages NONE as originally filed

pages NONE, filed with the demand

pages 1-7, filed with the letter of 13 July 2004 (13.07.2004).

the claims:

pages 9-10, as originally filed

pages NONE, as amended (together with any statement) under Article 19

pages NONE, filed with the demand

pages NONE, filed with the letter of \_\_\_\_\_.

the drawings:

pages NONE, as originally filed

pages NONE, filed with the demand

pages NONE, filed with the letter of \_\_\_\_\_.

the sequence listing part of the description:

pages NONE, as originally filed

pages NONE, filed with the demand

pages NONE, filed with the letter of \_\_\_\_\_.

**2. With regard to the language, all the elements marked above were available or furnished to this Authority in the language in which the international application was filed, unless otherwise indicated under this item.**

These elements were available or furnished to this Authority in the following language \_\_\_\_\_ which is:

the language of a translation furnished for the purposes of international search (under Rule 23.1(b)).

the language of publication of the international application (under Rule 48.3(b)).

the language of the translation furnished for the purposes of international preliminary examination (under Rules 55.2 and/or 55.3).

**3. With regard to any nucleotide and/or amino acid sequence disclosed in the international application, the international preliminary examination was carried out on the basis of the sequence listing:**

contained in the international application in printed form.

filed together with the international application in computer readable form.

furnished subsequently to this Authority in written form.

furnished subsequently to this Authority in computer readable form.

The statement that the subsequently furnished written sequence listing does not go beyond the disclosure in the international application as filed has been furnished.

The statement that the information recorded in computer readable form is identical to the written sequence listing has been furnished.

**4.  The amendments have resulted in the cancellation of:**

the description, pages NONE

the claims, Nos. NONE

the drawings, sheets/fig NONE

**5.  This report has been established as if (some of) the amendments had not been made, since they have been considered to go beyond the disclosure as filed, as indicated in the Supplemental Box (Rule 70.2(c)).\*\***

\* Replacement sheets which have been furnished to the receiving Office in response to an invitation under Article 14 are referred to in this report as "originally filed" and are not annexed to this report since they do not contain amendments (Rules 70.16 and 70.17).

\*\* Any replacement sheet containing such amendments must be referred to under item 1 and annexed to this report.

## INTERNATIONAL PRELIMINARY EXAMINATION REPORT

International application No.  
PCT/US03/38735**V. Reasoned statement under Rule 66.2(a)(ii) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement****1. STATEMENT**

Novelty (N)	Claims <u>NONE</u>	YES
	Claims <u>1-10</u>	NO
Inventive Step (IS)	Claims <u>NONE</u>	YES
	Claims <u>1-10</u>	NO
Industrial Applicability (IA)	Claims <u>1-10</u>	YES
	Claims <u>NONE</u>	NO

**2. CITATIONS AND EXPLANATIONS**

Claims 1-10 lack novelty under PCT Article 33(2) as being anticipated by Rieder.

Rieder, U.S. Patent 4,172,802, teaches aqueous metal working fluids exhibiting high lubricity and high stability comprising water and an acid terminated diester of a secondary diol (abstract). There may be added to the metal working composition various additives such as corrosion inhibitors, biocides, fungicides, bacteriocides, surfactants, extreme pressure agents and antioxidants well known in the art in conventional amounts (column 8, lines 9-14). The metal working composition may have therein a concentration of the carboxylic acid terminated diester or the organic salt or alkali salt thereof over a wide range, preferably from 0.10% to 20% more preferably 0.03 % to 5% by weight of the weight of water plus the weight of carboxylic acid group terminated diester or organic amine or alkali metal salt thereof (column 8, lines 15-22). In Example 22, column 11 of Rieder, a composition containing 15 gms phthalate ester, 15 gms triethanol amine and 470 gms water is disclosed.

Claims 1-10 meet the criteria set out in PCT Article 33(4), and thus have industrial applicability because the subject matter claimed can be made or used in industry.

----- NEW CITATIONS -----